

PERFORMANCE CRITERIA & MEASURES**for****Fiscal Year 2001**

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APPENDICES*Assessment Report Methodology*FY 2001 Annual Performance Assessment for Stanford Linear Accelerator Center Report
Methodology

1. The contractor's overall performance rating will be designated by one of the following adjectives:

<u>RATING</u>	<u>GENERAL DESCRIPTION</u>
Outstanding	An overall weighted point score of from 3600 points through 4000 points.
Excellent	An overall weighted point score of between 3000 points and 3599 points.
Good	An overall weighted point score of between 2000 points and 2999 points.
Marginal	An overall weighted point score between 1000 points and 1999 points.
Unsatisfactory	An overall weighted point score of 999 points or less.

2. The overall weighted point score rating was computed as follows:

The overall weighted point score for the Science and Technology Program Areas will be added to the overall weighted point score for the Business Management Areas to determine the Contractor's overall weighted point score.

3. To obtain the overall weighted point score in the Business Management, the following procedures will be used:

a. First the Criteria and Performance Measures within each Objective will be characterized in accordance with the established metric. Then a scoring factor, within the range provided for that characterization, will be assigned to that criteria. The following Characterizations and Scoring Factors ranges are to be used:

CHARACTERIZATIONS	SCORING FACTORS RANGE
Far Exceeds Expectations	From 3.6 to 4.0
Exceeds Expectations	From 3.0 to 3.5
Meets Expectations	From 2.0 to 2.9
Needs Improvement	1.9 or less

b. Next, the Characterization Scoring Factor was multiplied times the available Basic Points for the Criterion to obtain the Weighted Point Score. Within each Objective area, the weighted point scores for all Criteria will be added together to obtain the Weighted Objective Score.

c. The Weighted Objective Scores for all Objectives within a Business Management Functional Area will be added together to compute the Weighted Functional Area Score. The Business Management Functional Area Rating will be determined by reference to the following charts for each functional area:

RATING**WEIGHTED FUNCTIONAL AREA SCORE****Equal Opportunity and Affirmative Action**

Outstanding	From 54 through 60
Excellent	From 45 through 53
Good	From 30 through 44
Marginal	From 15 through 29
Unsatisfactory	14 or less

Personnel Management

Outstanding	From 126 through 140
Excellent	From 105 through 125
Good	From 70 through 104
Marginal	From 35 through 74
Unsatisfactory	34 or less

Financial Management

Outstanding	From 198 through 220
Excellent	From 165 through 198
Good	From 110 through 164
Marginal	From 55 through 109
Unsatisfactory	54 or less

Communications and Public Affairs

Outstanding	From 36 through 40
Excellent	From 30 through 35
Good	From 20 through 29
Marginal	From 10 through 19
Unsatisfactory	9 or less

Personal Property

Outstanding	From 108 through 120
Excellent	From 90 through 107
Good	From 60 through 89
Marginal	From 30 through 59
Unsatisfactory	29 or less

RATING**WEIGHTED FUNCTIONAL AREA SCORE****Procurement**

Outstanding	From 90 through 100
Excellent	From 75 through 89
Good	From 50 through 74
Marginal	From 25 through 49
Unsatisfactory	24 or less

Projects/Facilities Management

Outstanding	From 216 through 240
Excellent	From 180 through 215
Good	From 120 through 179
Marginal	From 60 through 119
Unsatisfactory	59 or less

Information Management

Outstanding	From 126 through 140
Excellent	From 105 through 125
Good	From 70 through 104
Marginal	From 35 through 69
Unsatisfactory	34 or less

Safe guards and Security

Outstanding	From 54 through 60
Excellent	From 45 through 53
Good	From 30 through 44
Marginal	From 15 through 29
Unsatisfactory	14 or less

Technology and Intellectual Property

Outstanding	From 36 through 40
Excellent	From 30 through 35
Good	From 20 through 29
Marginal	From 10 through 19
Unsatisfactory	9 or less

ES&H

Outstanding	From 396 through 440
Excellent	From 330 through 395
Good	From 220 through 329
Marginal	From 110 through 219
Unsatisfactory	109 or less

4. The point range for the overall adjectival ratings for Science and Technology and Business Management are as follows:

Science and Technology:

Outstanding	From 2160 to 2400
Excellent	From 1800 to 2159
Good	From 1200 to 1799
Marginal	From 600 to 1199
Unsatisfactory	Less than 600

Business Management:

Outstanding	From 1440 to 1600
Excellent	From 1200 to 1439
Good	From 800 to 1199
Marginal	From 400 to 799
Unsatisfactory	Less than 400

5. The Contracting Officer shall have a unilateral right to change the overall rating of the laboratory, after all other evaluations are complete, based upon his or her determination that some significant event(s) requires such a change to accurately reflect performance.

SCIENCE AND TECHNOLOGY

Cumulative available points 600

Stanford University operates and maintains the Stanford Linear Accelerator Center (SLAC) as a National User Facility, and manages the research, design, construction, engineering, testing, training, education, technology transfer, and other activities conducted on behalf of the Department of Energy (DOE), in a manner that will maintain a vigorous, forward-looking program. The mission is the generation of new, and expansion of existing, scientific and technical knowledge in: high energy physics, including theoretical, experimental, and accelerator physics; basic energy sciences, including but not limited to the utilization of synchrotron radiation in biology, chemistry, materials science, medical sciences, physics and other disciplines; health and environmental sciences; and all appropriate areas of natural sciences, engineering, and related disciplines. SLAC has been established as a National User Facility for the conduct of unclassified research, providing a unique resource for the DOE Office of Science's scientific program and related user communities.

The very nature of scientific inquiry, its complexity, duration, and examination of the unknown, mitigate against the establishment of purely quantitative criteria for evaluating the results of this research. In recognition of this difficulty, a system utilizing the review by scientific peers has proven its worth in influencing the direction of, and establishing standards for scientific research. In keeping with this tradition, this peer review process will be used to evaluate the science and technology programs at SLAC.

PERFORMANCE DESCRIPTORS

(DOE Order 5000.2B "Multiprogram Laboratory Appraisals)

<u>Outstanding:</u>	Significantly exceeds the standard of performance; achieves note-worthy results; accomplishes very difficult tasks in a timely manner.
<u>Excellent:</u>	Exceeds the standard of performance; although there may be room for improvement in some elements, better performance in all other elements more than offsets this.
<u>Good:</u>	Meets the standard of performance; assigned tasks are carried out in an acceptable manner - timely, efficiently, and economically. Deficiencies do not substantively affect performance.
<u>Marginal:</u>	Below the standard of performance; deficiencies are such that management attention and corrective action are required.
<u>Unsatisfactory:</u>	Significantly below the standard of performance; deficiencies are serious, may affect overall results, and urgently require senior management attention. Prompt corrective action is required.

Performance Gradient:

Adjectival Rating:	Scoring Factor Range:	
Outstanding	3.6 to 4.0	(90-100%)
Excellent	3.0 to 3.5	(75-89%)
Good	2.0 to 2.9	(50-74%)
Marginal	1.9 or less	(less than 50%)

HIGH ENERGY PHYSICS**Available Points: 500****Performance Objective 1: Scientific Research and Technology Development Programs**

Provide new insights into the nature of matter and energy; Provide the science core competencies that contribute to successful DOE and national programs; Ensure effective programmatic and strategic planning; Construct and operate leading-edge experiments and user facilities on schedule, within budget, and in a safe and environmentally sound manner.

Performance Criteria: 1.1**Available Points: 120**

Quality of fundamental and applied science.

Performance Measure: 1.1.a

SLAC will be recognized as a world-class research institution providing state-of-the-art facilities to the user community; having an innovative, productive research staff that is recognized as such by their peers; promote and facilitate education of graduate students and production of Ph.Ds; have a strong and enthusiastic user organization.

Performance Criteria: 1.2**Available Points: 200**

Relevance to DOE missions or national needs.

Performance Measure: 1.2.a

SLAC will contribute to U.S. leadership in international High Energy Physics communities; contribute to the goals and objectives of DOE Strategic Plans and guidance; provide advanced accelerator, and detector facilities that serve the needs of a wide diversity of scientific users from industry, academia, and Government laboratories.

Performance Criteria: 1.3**Available points: 100**

Effective and efficient research program management.

Performance Measure: 1.3.a

SLAC will provide: well-developed research plans; optimal use of personnel, facilities, and equipment; meeting budget projections and milestones; reflect effective decision-making in managing and redirecting projects; identify and avoid or overcome technical problems; and include scientific and technical information in program and project planning, and make it broadly available in electronic form.

Performance Criteria: 1.4**Available Points: 80**

Success in construction and operation of facilities.

Performance Measure: 1.4.a

SLAC will construct and operate leading-edge experiments and user facilities in a reliable safe and environmentally sound manner according to planned schedules; achieve performance specifications; and maintain and improve facilities at reasonable and defensible costs.

SYNCHROTRON RADIATION:**Available Points: 100****Performance Objective #1: Scientific Research and Technology Development Programs**

Provide new insights into the nature of matter and energy; Provide the science core competencies that contribute to successful DOE and national programs; Ensure effective programmatic and strategic planning; Construct and operate leading-edge experiments and user facilities on schedule, within budget, and in a safe and environmentally sound manner.

Performance Criteria: 1.1**Available Points: 20**

Quality of fundamental and applied science.

Performance Measure: 1.1.a

SLAC will be recognized as a world-class research institution providing state-of-the-art facilities to the user community; having an innovative, productive research staff that is

recognized as such by their peers; promote and facilitate education of graduate students and production of Ph.Ds; and have a strong and enthusiastic user organization.

Performance Criteria: 1.2

Available Points: 30

Relevance to DOE missions or national needs.

Performance Measure: 1.2.a

SLAC will contribute to U.S. leadership in international Basic Energy Science and Biological & Environmental Research communities; contribute to the goals and objectives of DOE Strategic Plans and guidance; provide advanced, synchrotron facilities that serve the needs of a wide diversity of scientific users from industry, academia, and Government laboratories.

Performance Criteria: 1.3

Available Points: 20

Effective and efficient research program management.

Performance Measure: 1.3.a

SLAC will provide: well-developed research plans; optimal use of personnel, facilities, and equipment; meeting budget projections and milestones; reflect effective decision-making in managing and redirecting projects; identify and avoid or overcome technical problems; and include scientific and technical information in program and project planning, and make it broadly available in electronic form.

Performance Criteria: 1.4

Available Points: 30

Success in construction and operation of facilities.

Performance Measure: 1.4.a

SLAC will construct and operate leading-edge experiments and user facilities in a reliable safe and environmentally sound manner according to planned schedules; achieve performance specifications; and maintain and improve facilities at reasonable and defensible costs.

The following review procedures constitute the peer review process for determining the research quality and productivity of the scientific endeavors at DOE facilities:

1. The Director of Office of Science has the primary responsibility for evaluating laboratory scientific research performance. In carrying out this responsibility, the

Director is likely to request assistance from the Program Managers under whose jurisdiction the scientific program falls.

2. In performing this evaluation, the Director will utilize a variety of different reviews, which could include:

Advisory Committees reporting to the Director that are appointed formally through the Federal Advisory Committee Act.

Program Manager's review of projects at the laboratory using independent technical experts.

Reviews of relevant laboratory activities conducted, as requested for the Secretary of Energy, or for other Secretarial Officers.

Reviews performed by the contractor, which may or may not involve active participation of Department personnel, or prior review by the Department of contractor peer review procedures.

3. All reviews address the criteria and measures described above, in High Energy Physics and Synchrotron Radiation.
4. Results of the review are documented and, as appropriate, include ratings for each criterion and measure.
5. The documented ratings of the reviews are available for use by other DOE groups reviewing the same projects, perhaps at a higher organizational level. Contractor reviews, when transmitted to the Department, are available in the same way
6. Summaries of recent documented reviews and ratings of the laboratory are provided to Assistant Secretaries and the Director of Office of Science for their use in evaluating overall laboratory performance.
7. The Assistant Secretaries and the Director of Office of Science provide their evaluations to the Department's cognizant Contracting Officer, who has responsibility for evaluating the performance of the laboratory contractor.

BUSINESS MANAGEMENT

Performance Area: ENVIRONMENT, SAFETY & HEALTH Available Points: 110

Integrated Safety Management System (ISMS) Process Performance Measure

The following Performance Objective, Criteria and Measure is linked to the seven ISMS Guiding Principles and five Core Functions. The Annual Review process for evaluating the overall effectiveness of ISM implementation at SLAC is described below.

Performance Objective	4.0
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SLAC effectively integrates ISM into all management and work practices at institutional, site, and activity levels so that missions are accomplished while protecting the worker, the public and the environment.

Performance Criteria: 4.1

SLAC systematically integrates the seven Integrated Safety Management System (ISMS) Guiding Principles and five Core Functions into all management systems and work practices at the institutional, site, and activity levels.

Performance Measure: **Total Available Points: 40**

SLAC effectively implements Integrated Safety Management in its management systems and work practices at the institutional, site, and activity levels.

The DOE Annual Review process for demonstrating accomplishment of the performance objective will be based on a jointly conducted review by DOE and SLAC of contractor management systems or work elements falling into the following categories: 1) research projects and associated support operations 2) infrastructure projects and associated support operations and activities and 3) other routine support operations and maintenance activities. DOE and SLAC will identify for review each quarter one activity from the three categories identified above.

The activity identified by DOE and SLAC will be subject to review by a team composed of no less than two representatives each from DOE and SLAC. At a minimum, the review team will include a representative from the Stanford Site Office (SSO), an OAK subject matter expert as needed, a representative from the SLAC ES&H Division and a cognizant SLAC line manager. Other DOE or SLAC subject matter experts or line organization representatives may be also included on the review team to provide technical support if appropriate based on

the scope and complexity of the reviews. Review team members are expected to have demonstrated knowledge about ISM.

Although the Annual Review Process will be conducted jointly, the results of the quarterly review will be used by DOE to independently document completion of the DOE Annual Review requirement for determining the overall effectiveness of ISMS implementation at SLAC. SLAC may also choose to independently use the data generated from the quarterly reviews for the SLAC annual self-assessment report on SLAC's performance against the measure.

The scope of the Annual Review may include, but is not limited to, review of site policies and procedures and their implementation, interviews of line managers, workers and subcontractors, data generated from SLAC's internal tracking systems and other documented work process products.

A number of other factors may be considered to determine the extent of success against the measure gradient independent of the specific quarterly review process. This includes results of program/project reviews, SLAC self-assessments (including results of internal independent assessments), ongoing DOE Operational Awareness activities conducted throughout the year, For Cause Reviews by DOE and any external reviews.

The intent of this performance measure is to evaluate how effectively the ISMS guiding principles and core functions are integrated into management systems and work practices at the institutional, site and activity levels; and to determine to what extent SLAC is fostering continuous improvement in ISM implementation through integration of the guiding principles and core functions in line organization activities, implementation of line organization self-assessments, integration of ISM in program/project reviews, implementation of an effective lessons learned program, development of safety performance objectives and key ISM performance indicators and implementation of appropriate corrective actions. The degree of success in meeting the process measure gradients will be based on the collective results of the DOE and SLAC reviews conducted during the DOE fiscal year.

The review will consider the following when documenting the site's performance against the measure:

- Vertical and horizontal integration of safety management systems.
- Flowdown of ISM requirements in SLAC contracts and other site documentation.
- Implementation of line organization self-assessments.
- Processes are in place that ensure feedback and continuous improvement.
- Establishment and tracking/trending of key safety indicators and metrics.

Performance Assumptions:

1. Rating period is October 1, 2000 to September 30, 2001.

2. DOE and SLAC will meet during the annual ES&H performance assessment process to discuss the evaluations from each of the ISM quarterly reviews and assign an overall performance rating for this performance measure.
3. SLAC will independently incorporate the results from the ISM quarterly reviews into the Laboratory's annual self-assessment report on all performance measures.
4. The final overall rating for this measure will be based on the aggregate results from the quarterly ISM reviews.

Performance Gradients:

The Gradients will be based on an assessment of the effectiveness of performance against the seven elements described in Section 5 of the SLAC Safety Management System (SLAC-I-720-0A00B-001). These elements are implementation of ISMS:

1. Guiding Principles 1 and 2;
2. Guiding Principle 3;
3. Guiding Principle 4 and Core Function 1;
4. Guiding Principle 5;
5. Guiding Principle 6 and Core Functions 2 and 3;
6. Guiding Principle 7 and Core Function 4;
7. Core Function 5.

Each activity reviewed will be scored on its effectiveness in implementing each element (i.e. effective or not effective). Each activity will then be given a gradient evaluation according to the following:

Outstanding:	at least 6 of ISM 7 elements demonstrated to be effectively implemented
Excellent:	at least 5 of 7 ISM elements demonstrated to be effectively implemented
Good:	at least 4 of 7 ISM elements demonstrated to be effectively implemented
Marginal:	at least 3 of 7 ISM elements demonstrated to be effectively implemented
Unsatisfactory:	< 3 of 7 ISM elements demonstrated to be effectively implemented

The final overall rating for this performance measure will be determined as the average of the ratings of each individual activity assessed.

FY01 ES&H Outcome Performance Measures

Total Available Points: 110

Note: 40 points have been reserved for the FY01 ISM Process Performance Measure.

Performance Objective: 1.0

SLAC will perform its work so that personnel hazards are anticipated, identified, evaluated and controlled.

Performance Criteria: 1.1

Exposures of personnel to chemical, physical, and biological hazards will be adequately controlled.

Performance Measure: 1.1a Available Points: 8

An Industrial Hygiene exposure prevention program is in place such that:

- Potential exposures greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH "heavy continuous work" TLV) are anticipated and monitored yearly.
- OSHA-required substance-specific sampling is planned and conducted yearly as required.
- Vulnerable systems are evaluated yearly.

Performance Assumptions

- For FY01 the performance period is October 1, 2000 through September 30, 2001.
- To receive a performance rating at any given level, the requirements of the lower levels of performance must also be met. [This applies only within the Good/Excellent/Outstanding group.]
- Exposure measurements and evaluations will be written on survey forms and include an assessment of hazard potential and recommendations for controls.
- Immediate control measures (engineering controls, administrative controls or personal protective equipment) will be implemented when exposure monitoring or evaluations identify the potential for exposures to exceed the Action Level.
- All exposure evaluation and control measurements will use NIOSH or OSHA methods and appropriately calibrated (per manufacturer recommendations, national consensus standards, or accepted practice) instruments.

- An *exposure measurement* is defined as "one or more samples associated with an operation that gives a value which can be compared with an Occupational Exposure Limit."
- An *operation* is defined as an activity comprised of one or more tasks performed at a single location that generates a hazard(s). "Hazard" includes all stressors associated with an operation (i.e., noise, lead, etc.)

Note: Any significant process changes constitute a new operation.

- When an exposure measurement is not possible, a qualitative evaluation which determines the probable exposure (comparison to Occupational Exposure Limit) and level of risk (high, medium, or low) shall be documented.
- Exposure measurements that result in an "exceedence", along with the corrective action taken, will be discussed in the ESH Quarterly Report.
- Corrective action taken to reduce personal exposures which are found to be greater than the Action Level will consider the accepted Industrial Hygiene control hierarchy of engineering controls first, then administrative controls, then personal protective equipment.
- An *exceedance* is defined as one or more high results (measurements above the Action Level) associated with an operation. When no standard has been developed for an agent, another published occupational health standard will be agreed upon and utilized.
- *Action Level* is defined as one-half of the 8-hour TWA, STEL, and CEILING limits for OSHA PELs and ACGIH TLVs, unless a different action level is specified by OSHA. For heat stress, the Action Level is defined as the ACGIH "heavy continuous work" TLV.
- Types of measurements to be considered are: chemicals, gases, particulates, fibers; biological agents; physical agents such as noise, magnetic fields, non-ionizing radiation, and thermal stress. Note: bulk samples, swipe samples, drinking water samples, and indoor air quality measurements are not to be included.
- Per OSHA definition, the Laboratory Standard (29 CFR 1910.1450) supercedes substance-specific sampling standards for laboratory operations. Therefore, only non-lab activities, such as shops and crafts, are subject to the substance-specific standards referenced in 29 CFR 1910.1001-1052.
- A *vulnerable system* is defined as an exposure control that was in place and operating when exposures were evaluated, but is subject to failure if not maintained, or relies on training. Without it exposures would be higher and possibly exceed the Action Level. Such controls include but are not limited to mechanical ventilation, personnel protective equipment and work procedures.
- The term "all" or "100%" means those operations that actually occur during the performance period. Evaluations that were attempted but were not done because the operation did not occur will not be counted if supervision was

notified of the need to evaluate them and monitoring attempts were documented.

Performance Gradient

Outstanding:

- IH exposure measurements (and corrective action) are completed during the contract period for 100% of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH "heavy continuous work" TLV).
- For Vulnerable Systems, an IH evaluation and inspection for effectiveness (and corrective action taken if needed), are completed during the contract period for 100% of the vulnerable systems.
- The results of the completed sampling plan/yearly monitoring are used to update the three lists specified under "Good".
- 100% of the required beryllium sampling is conducted during the performance period.
- Beryllium activities in "Good" and "Excellent" are completed, and beryllium operations/use at SLAC is minimized.

Excellent:

- IH exposure measurements (and corrective action) are completed during the contract period for 95% of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH "heavy continuous work" TLV).
- For Vulnerable Systems, an IH evaluation and inspection for effectiveness (and corrective action taken if needed), are completed during the contract period for 95% of the vulnerable systems.
- 95% of the required beryllium sampling is conducted during the performance period.
- Actions required [jointly agreed upon by SLAC and DOE by December 31, 2000] for compliance with the Beryllium Rule (10 CFR 850) are completed during the performance period.

Good:

- A list of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH "heavy continuous work" TLV) is prepared by October 31, 2000.
- A list, specific to SLAC operations, of all substance-specific sampling required by 29 CFR 1910 is prepared by October 31, 2000.
- A list of Vulnerable Systems is prepared by October 31, 2000.

- IH exposure measurements (and corrective action) are completed during the contract period for 90% of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH "heavy continuous work" TLV).
- All "substance-specific" exposure measurements are completed as required by 29 CFR 1910 during the contract period.
- For Vulnerable Systems, an IH evaluation and inspection for effectiveness (and corrective action taken if needed), are completed during the contract period for 90% of the vulnerable systems.
- An inventory of beryllium operations, and a list of beryllium sampling to be conducted during the performance period is prepared by October 31, 2000.
- 90% of the required beryllium sampling is conducted during the performance period.

Marginal:

- The lists required to be developed under "Good" are not developed by the due date.
- IH exposure measurements and Vulnerable System evaluations required under "Good" are completed at a rate below 90%.

Unsatisfactory:

- Substance-specific exposure measurements are not completed as required by OSHA.

Performance Criteria: 1.2

Accident and injury rates, lost workday rates and the DOE injury cost index are adequately controlled.

Performance Measure: 1.2a**Available Points: 8**

The period for comparison with the current performance period will be the average of the five previous years (baseline). The lab's frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions will be compared to the SLAC baseline average. A downward trend is expected.

Performance Assumptions:

1. For FY01 the performance period is July 1, 2000 through June 30, 2001.
2. Each frequency and severity rate in the Research/Services and Construction category will be given a weighted factor in calculating the final evaluation gradient. The weighted factor is based on the amount of person-hours accumulated within each function divided by the total person-hours during the rating period.
3. It is recognized that an initial increase or minimal decrease in rates may be experienced whenever a new prevention program is introduced and that some variability is expected which may not be indicative of a trend.
4. Workers' Compensation costs will be considered during the self-assessment.
5. For FY00 and future years, the accident/injury types and baseline years will be updated by mutual agreement of the DOE site office and the Laboratory.
6. Subcontractor operations/personnel are included in the Construction function. Subcontractor statistics will be maintained separately only for those subcontractors reporting hours worked to the Laboratory. Subcontractors are excluded if they are "servicing" the Laboratory (e.g., copy machine vendors or other transient workers).

Performance Gradient:

Outstanding:	The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are greater than 20% below the baseline five year SLAC average.
Excellent:	The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are greater than 10% below the baseline five year SLAC average.
Good:	The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and

	Construction functions are 0% to 9% below the baseline five year SLAC average.
Marginal:	The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are 1% to 10% above the baseline five year SLAC average.
Unsatisfactory:	The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are greater than 10% above the baseline five year SLAC average.

Performance Criteria: 1.3

Exposures of personnel to ionizing radiation will be adequately controlled.

Performance Measure: 1.3a**Available Points: 4**

Unplanned radiation exposures (both internal and external), and ORPS reportable occurrences of skin or personal clothing contamination are managed and minimized.

Performance Assumptions:

1. For FY2001, the performance period is January 1, 2000 to December 31, 2000; i.e., calendar year 2000 (CY2000).
2. Radiation doses to non-radiological workers in excess of 100 mrem/yr are considered as unplanned exposures.
3. The number of occurrences is considered to be the number of individuals who experience ORPS-reportable radiation doses or contamination, plus unplanned doses as defined in the above performance assumption.
4. The current projection of the number of radiation doses to non-radiological workers in excess of 100 mrem in CY2000, based on best available information, is four (4).
5. In any event, the most recent three-(3)-calendar-year running average will be calculated for application to the latest Performance Gradients at such time that appropriate information is available.

Performance Gradient:

Outstanding:	There are no occurrences.
Excellent:	The number of occurrences is equal to or less than 50% of the most recent three-(3)-calendar-year running average of four (4).

Good:	The number of occurrences is equal to or less than the most recent three-(3)-calendar-year running average of four (4).
Marginal:	The number of occurrences is no greater than 150% of the most recent three-(3)-calendar-year running average of four (4).
Unsatisfactory:	The number of occurrences is greater than 150% of the most recent three-(3)-calendar-year running average of four (4).

Performance Measure: 1.3b**Available Points: 4**

Occupational radiation doses to individuals (excluding accidental exposures) from DOE activities will be managed to assure that applicable 10 CFR 835 limits are not exceeded.

Performance Assumptions:

1. For FY2001, the performance period is January 1, 2000 to December 31, 2000; i.e., calendar year 2000 (CY2000).
2. Any actual or anticipated significant changes in workloads; i.e., collective dose, will be brought to the attention of SLAC management and DOE so that appropriate adjustments will be made. Significant change in collective radiation dose is defined to be an increase or decrease of 20% or more.

Performance Gradient:**Outstanding:**

- No radiological worker at SLAC receives a dose in excess of 500 mrem and no general employee dose exceeds 50 mrem.
- The total collective dose is less than 70% of the previous three-(3)-calendar-year running average.

Excellent:

- No radiological worker at SLAC receives a dose in excess of 1 rem.
- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem, do not exceed the laboratory's previous three (3) year running average in two of these dose categories.
- The total collective dose is less than 90% of the previous three-(3)-calendar-year running average.

Good:

- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem, exceeds the laboratory's three-(3)-calendar-year running average in no more than two of these dose categories.

- The total collective dose does not exceed the laboratory's previous three-(3)-calendar-year running average.

Marginal:

- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem, exceeds the laboratory's three-(3)-calendar-year running average in no more than two of these dose categories.
- The total collective dose exceeds the laboratory's previous three-(3)-calendar-year running average.

Unsatisfactory:

- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem, exceeds the laboratory's three-(3)-calendar-year running average in more than two of these dose categories.
- The total collective dose exceeds the laboratory's previous three-(3)-calendar-year running average.

Performance Measure: 1.3c**Available Points: 1**

Lost or unreturned dosimeter investigations and dose assignments are carried out in a timely manner (within 90 days of the monitoring period).

Performance Gradient:

Outstanding:	No investigation and dose assignment from a given monitoring period is more than ninety days old.
Excellent:	No more than twenty percent of the required investigations and dose assignments are more than ninety days old.
Good:	No more than thirty percent of the required investigations and dose assignments are more than ninety days old.
Marginal:	No more than fifty percent of the required investigations and dose assignments are more than ninety days past the end of the monitoring period.
Unsatisfactory:	More than fifty percent of the required investigations and dose assignments are more than ninety days past the end of the monitoring period.

Performance Criteria: 1.4

Radioactive material will be adequately controlled.

Performance Measure: 1.4a**Available Points: 3**

Radioactive materials, including contaminated and/or activated materials, are controlled at all times so that the number of reportable occurrences as defined in SLAC Workbook for Occurrence Reporting does not exceed the current three-(3)-year running average by more than three (3). The current three-year running average is one (1).

Performance Assumptions:

1. For FY2001, the performance period is October 1, 2000 through September 30, 2001.
2. Each unusual occurrence as defined in SLAC Workbook for Reportable Occurrences will have a weighting factor of 1.5.

Performance Gradient:

Outstanding:	The weighted number of occurrences is equal to zero.
Excellent:	The weighted number of occurrences greater than zero and less than or equal to 1.5.
Good:	The weighted number of occurrences is greater than 1.5 and less than or equal to 3.
Marginal:	The weighted number of occurrences is greater than 3.0 and less than or equal to 4.5.
Unsatisfactory:	The weighted number of occurrences is greater than 4.5.

Performance Criteria: 1.5

Fire Department response time and the rate of completion of required fire protection will be adequately controlled and accomplished.

Performance Measure: 1.5a**Available Points: 1**

Fire Department will record all fire apparatus response time. All response time will be measured against the pre-fire plan response time.

Performance Assumptions:

All response times will be based on the California Fire Incident Reporting System (CFIRS).

Performance Gradient:

Outstanding:	Meets > 95% anticipated response time indicated in the pre-fire plan.
Excellent:	Meets 90-95% anticipated response time indicated in the pre-fire plan.
Good:	Meets 80-89% anticipated response time indicated in the pre-fire plan.
Marginal:	Meets 70% -79% anticipated response time indicated in the pre-fire plan.
Unsatisfactory:	Meets < 70% anticipated response time indicated in the pre-fire plan.

Performance Measure: 1.5b**Available Points: 3**

SLAC conducts fire protection survey per the SLAC Fire Protection Program list to ensure their facilities meet DOE fire protection goal and requirements.

Performance Gradient:

Outstanding:	> 95% completion rate
Excellent:	90- 95% completion rate
Good:	80-89% completion rate
Marginal:	70-79% completion rate
Unsatisfactory:	<70% completion rate

Performance Measure: 1.5c**Available Points: 3**

A documented design review program shall be in place to ensure all designs for new construction and modification projects are reviewed and approved by SLAC's Fire Protection Engineer in a timely manner with adequate records and documentation.

Performance Gradient:

Outstanding: > 95% of designs reviewed.
Excellent: 90 - 95% of designs reviewed.
Good: 80 - 89% of designs reviewed.
Marginal: 70 - 79% of designs reviewed.
Unsatisfactory: <70% of designs reviewed.

Performance Measure: 1.5d**Available Points: 1**

SLAC shall inspect, test and maintain its fire protection systems in accordance with the SLAC Fire Protection Maintenance Testing and Inspection schedules and procedures. Track and trends on the SLAC maintenance computer system.

Performance Gradient:

Outstanding: > 95%
Excellent: 90 - 95%
Good: 80 - 89%
Marginal: 70 - 79%
Unsatisfactory: <70%

Performance Objective: 2.0

SLAC will perform its work in a manner that does not present a threat of harm to the public or the environment and will identify, control, and respond to environmental hazards.

Performance Criteria: 2.1

Exposures to members of the public to ionizing radiation and radiological emissions to the environment will be adequately controlled.

Performance Measure: 2.1a**Available Points: 8**

Public ionizing radiation exposure monitoring and calculations are accomplished to assure that the dose to the maximally exposed individual in the public from DOE operations will be controlled and will not exceed Federal limits.

Radiological emissions to the environment are monitored or calculated and controlled such that applicable limits are not exceeded.

Performance Assumptions:

1. Any actual or anticipated change in workload (interpreted to be an increase or decrease of 10% or more) that would affect radiation doses or radiological emissions will be brought to the attention of DOE and appropriate adjustments will be made.
2. For FY2001, the performance period is January 1, 2000 to December 31, 2000; i.e., calendar year 2000 (CY2000).

Performance Gradient:

Outstanding:	The total effective dose equivalent (TEDE) for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is less than or equal to 5 mrem/yr. Radiological emissions to the environment are less than or equal to 5% of applicable regulatory limits.
Excellent:	The TEDE for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 5 mrem/yr to less than or equal to 7.5 mrem/yr. Radiological emissions to the environment are greater than 5% to less than or equal to 7.5% of applicable regulatory limits.
Good:	The TEDE for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 7.5 mrem/yr to less than or equal to 10 mrem/yr. Radiological emissions to the environment are greater than 7.5% to less than or equal to 10% of applicable regulatory limits.
Marginal:	The TEDE for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 10 mrem/yr to less than or equal to 15 mrem/yr. Radiological emissions to the environment are greater than 10% to less than or equal to 15% of applicable regulatory limits.
Unsatisfactory:	The TEDE for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 15 mrem/yr. Radiological emissions to the environment are greater than 15% of applicable regulatory limits.

Performance Criteria: 2.2

Environmental violations and releases will be adequately controlled.

Performance Measure: 2.2a**Available Points: 8**

Environmental incidents will be tracked and measured. These will include:

- 1) Formal violations noted by regulatory inspections, regulatory reports or non-compliance with agreements made with regulatory agencies;
- 2) Spills which exceed established local, state, or federal reporting requirements; and
- 3) Releases which exceed regulatory permit limits.

Performance Assumptions:

1. Performance period for this measure is October 1, 2000 to September 30, 2001.
2. Environmental releases that remain within compliance limits or do not require reporting will not be counted. Environmental releases resulting from natural causes (earthquake, flooding, etc.) for which no preventable action could be taken, shall not be counted.
3. A weighting factor from 0.25 to 1 will be applied to all counted incidents. SLAC and DOE technical counterparts will jointly determine weighting factors for incidents.

Weighting factors are generally defined to be:

- | | |
|------|--|
| 1.00 | Serious non-compliance: Incident poses serious harm to the public or environment. |
| 0.75 | Significant non-compliance: Programmatic non-compliance with regulatory requirements or a release resulting in the issuance of a NOV, or repeated moderate non-compliance ("repeated" is defined as more than two over a three-year period). |
| 0.50 | Moderate non-compliance incident that is isolated, but requires a legally reportable release of contamination (but no NOV is issued), or a repeated minor non-compliance. |
| 0.25 | Minor non-compliance: An incident that is isolated, primarily administrative, and causes no potential unrecovered release of contamination. |
4. If NOVs or equivalent notices contain more than one distinct compliance violation, each separate violation will be first weighted under the above scale. Then an overall score for the incident will be determined by joint DOE/SLAC agreement after considering the individual violations. The overall score for a NOV with multiple violations will be equal to or greater than the highest scored individual violation, but will not exceed a value of 1.
 5. The weighted scores of all incidents during the performance period will be added to determine the "total score" to be used in the gradients defined below.
 6. Increases in incidents will be based on comparison to a three-year average. The "three-year" average will begin after three years of data are collected (FY99 - FY01). Thereafter, the lowest average from a three-consecutive-year period will be used.

7. Unexpected work/regulatory activity increases that may occur during the year will be brought to the attention of DOE and will be considered during the evaluation period.

Performance Gradient:

Outstanding:	A total score of less than 1, and no individual incident has a weighted score of 0.75.
Excellent:	A total score of 1 to 1.75, with no more than 1 individual incident having a weighted score of 0.75.
Good:	A total score of 2 to 2.75, with no more than 2 individual incidents having a weighted score of 0.75.
Marginal:	A total score of 3 to 3.75, with no more than 3 individual incidents having a weighted score of 0.75, or any singular incident has a weighted score of 1.
Unsatisfactory:	A total score of 4 or more, or 2 or more individual incidents have a weighted score of 1.

Performance Objective: 3.0

SLAC demonstrates sound stewardship of its site through safe and effective hazardous and radioactive waste minimization and management and through restoration of the site where degradation has occurred.

Performance Criteria: 3.1

SLAC has a program in place to reduce both the amounts of waste generated and pollutant emissions. The program will reduce as much as is practical the volume of municipal solid waste and hazardous waste generated in accordance with SLAC's Waste Minimization Plan. In addition, as long as benefits exceed costs, SLAC will plan and perform its work in a manner that prevents pollution in the environment.

Performance Measure: 3.1.a**Available Points: 5**

SLAC continues progress towards meeting the DOE pollution prevention goals for the year 2005.

Performance Assumptions:

1. The performance period is October 1, 2000 through September 30, 2001.
2. DOE's pollution prevention goals (Department-wide) by waste type are defined as follows:

- Reduce by 90% the generation of hazardous wastes from routine operations by the year 2005;
 - Recycle 45% of non-hazardous waste from routine operations by the year 2005.
3. SLAC's contribution to the DOE goals stated above are:
- Reduce generation of hazardous waste from routine operations by 90% by the year 2005, using 1993 as a baseline; and,
 - Recycle 45% of non-hazardous waste by the year 2005
4. The annual performance assessment will not be based solely on the achievement or lack thereof of the numerical goals. The performance rating will take into account the commitment and effectiveness of SLAC management toward achieving the numerical goals.
5. DOE and SLAC may negotiate mid-year adjustments to the SLAC waste reduction and recycling goals.
6. Waste quantities used to compute waste reduction or waste recycling performance exclude one-time or non-routine operations such as TSCA waste, remediation waste, waste from projects involving the upgrade of equipment, waste from significant emergency response actions, and construction and demolition waste.
7. Reduction, reuse, recycling, exchange, on-site treatment and procurement of materials with recycled content are considered to be methods of waste minimization and will be tracked by the Waste Management Department to affirm reductions in hazardous waste generated.
8. The effect of the July 13, 2000 DOE moratorium on the release of surplus and scrap metals for recycling will be factored into determining the performance rating for this measure.

Performance Gradient	RHW Goals	NHW Goals
Rating	Waste Reduction (%)	Recycling (%)
Outstanding	>58	≥ 36
Excellent	52 to 57	30 to 35
Good	46 to 51	24 to 29
Marginal	41 to 46	19 to 23
Unsatisfactory	≤ 40	≤ 18

Performance Criteria: 3.2

SLAC will manage hazardous and radioactive wastes in a manner that meets regulatory requirements and is cost effective.

Performance Measure:

3.2.a

Available Points: 4

Hazardous waste generated will be managed in compliance with applicable regulations of CCR, Title 22, Division 4.5, applicable parts, and the budget expended cost effectively.

Performance Gradient:

Outstanding:	No Class 1 or equivalent violations of hazardous waste regulations; budget expended cost-effectively for generated hazardous waste.
Excellent:	No Class 1 violations of hazardous waste regulations; budget expended cost effectively for generated hazardous waste.
Good:	No Class 1 violations; and budget not expended cost effectively for generated hazardous waste.
Marginal:	Any Class 1 violation; or budget not expended cost effectively for generated hazardous waste.
Unsatisfactory:	Any Class 1 violation; and budget not expended cost effectively for generated hazardous waste.

Performance Assumptions:

1. Violations that do not pose a threat to human health or the environment may not be measured. Violations that pose a threat human health or the environment may be measured. As examples, any violation that does not pose a threat will not result in a reduction of performance if the overall program is successful in meeting other compliance elements. Any violation that does pose a threat, or where other program elements are unsuccessful in meeting other compliance elements, will affect the performance level.
2. Data used for assessing regulatory compliance will be gathered from inspection reports pertinent to environmental waste regulations. These may include self-assessments, regulatory agency inspections, operational awareness activities, et cetera.
3. The assessment of the cost effectiveness of budget expenditures will be based on the mutually agreed upon baseline for the hazardous waste and low level waste programs and any identified cost savings.
4. Cost savings resulting from the implementation of cost-effective waste programs may be applied towards waste liabilities and other SC program activities at the site.
5. Class 1 violations are defined in the DTSC Official Policy/Procedure #EO-95-004-PP, dated August 16, 1995.
6. Violations similar to Class I violations found during SLAC internal audits or DOE operational awareness walkthroughs will be considered "equivalent" to Class I violations for the Outstanding gradient of Measure 3.2a.

Performance Measure: 3.2.b**Available Points: 4**

Low-level waste generated will be managed in compliance with applicable DOE Orders and regulatory requirements and the budget expended cost effectively.

Performance Gradient:

Outstanding:	Compliance with applicable orders and regulations; budget expended cost effectively and demonstrated efforts/accomplishments to improve the program.
Excellent:	Compliance with applicable orders and regulations and budget expended cost effectively.
Good:	Level III non-compliance observation as defined below.
Marginal:	Level II non-compliance observation as defined below.
Unsatisfactory:	Level I non-compliance observation as defined below.

Performance Assumptions:**1. Definition of Non-compliance Levels**

- Level I: Observation of non-compliance perceived to be an imminent danger or significant safety hazard to workers or the public, or poses a significant threat to the environment.
- Level II: Observation of non-compliance that indicates that management system (s) are not in control.
- Level III: Observation of non-compliance that is or perceived to be in violation of DOE Orders, or other applicable regulations, but can be demonstrated that management system(s) are in control.

- 2. Assessment of levels of non-compliance is based on observations/findings by DOE, external regulators, or through SLAC internal, independent assessments.
- 3. The assessment of the cost effectiveness of budget expenditures will be based on the mutually agreed upon baseline for the hazardous waste and low-level waste programs and any identified cost savings.
- 4. Violation of waste accumulation time requirements for combined (mixed) waste will be considered on a case-by-case basis.

Performance Criteria: 3.3

SLAC will maintain the scheduled rate of progress toward completion of the Remedial Investigation/Feasibility Study and source mitigation activities designed to achieve a level of restoration acceptable to cognizant regulatory agencies by September 30, 2002.

Performance Measure: 3.3a**Available Points: 5**

Performance will be determined based on points earned in three categories. The successful completion of selected major tasks/milestones in the Environmental Restoration Program Current Year Work Plan, the efficient management of the budget, and project management effectiveness will be evaluated and awarded points. There will be a maximum of 60 points possible.

Task Completion Points (40 max):

By October 15, 2000, SLAC and DOE will agree on the tasks to be performed and the number of points to be awarded for each. As conditions change throughout the year, DOE and SLAC may agree on task substitution. Forty (40) points will be the maximum amount credited in this category even though total task points available may be more than forty. Five points will be awarded for the completion of each task. Tasks must be fully completed within the performance period to received points (i.e., no partial credit).

Budget Points (10 max):

The budget shall be managed to take advantage of the fiscal year funds available to maximize the amount of work performed in the current performance/fiscal year (i.e., funds available from completing tasks under budget should be used to accelerate work planned in future years). The point increments are based on managing funds to keep the year-end carryover to 8% or less, consistent with EM HQ guidance.

Percent of budget spent	Points	Percent of budget spent	Points
92% or Greater	10	87%	5
91%	9	86%	4
90%	8	85%	3
89%	7	84%	2
88%	6	83%	1

Project Management Effectiveness Points (10 max):

Quality, earned value, responsiveness, innovation, and flexibility factors will be used to evaluate project management effectiveness. This item will be more

subjective than the other two categories and there is no intention to distribute the available points evenly among the identified factors. Typical indicators of the effectiveness are:

- Post project evaluations for cost and quality
- Nature of stakeholder, regulator, DOE, etc. comments on environmental restoration projects/documents and resolution to the comments
- Compliance to project documents
- Recommendations and development of solutions to problems or obstacles
- Regulator issued fine, penalties, notice of violations, etc.

Performance Gradient/Basis for Rating:

Outstanding:	54 or greater points earned.
Excellent:	45 to 53 points earned.
Good:	36 to 44 points earned.
Marginal:	The budget has been overspent or 28 to 35 points earned.
Unsatisfactory:	The budget has been overspent and < 28 points earned.

Performance Area: EQUAL OPPORTUNITY & AFFIRMATIVE ACTION**Performance Area: EQUAL OPPORTUNITY
AND AFFIRMATIVE ACTION**Cumulative Available Points 15**Performance Objective # 1 Equal Opportunity and Affirmative Action**

Maintain effective internal program controls to ensure SLAC's Equal Opportunity Programs is in accordance with all Federal Civil Rights Statutes and the Affirmative Action Program is in accordance with the Code of Federal Regulations 41-CRF 60-2

Performance Criteria: 1.1

Program Development and Maintenance: Develop and maintain an Equal Employment and Affirmative Action Program at SLAC that meets the Department of Labor's compliance criteria and the Department of Energy's EEO Contractual requirements.

Performance Measure: 1.1.a**Available Points: 15**

Compliance Standing and Operational Awareness

Development, maintenance, and existence of control systems which would enable the standing of the EEO/AA program to be assessed quickly and efficiently. Assess and evaluate the strategic plan contained in the Annual Affirmative Action Plan.

Performance Assumptions:

Program and Plan

The maintenance of a current EEO/AA program through the development of an annual affirmative action plan to identify areas of underutilization and to assess progress in reaching full utilization of minorities and women in accordance with regulatory guidelines. Contained within this annual plan, with the concurrence of DOE/OAK, will be the identification of high priority occupation areas along with a strategic plan.

Performance Gradient:**Outstanding:**

In the aggregate, improve utilization of high priority underutilized job groups and achieve full utilization in any of the high priority job groups while showing no reduction in utilization in all other job groups.

Excellent:

In the aggregate, improve utilization of high priority underutilized job groups while showing no reduction in utilization in all other job groups.

Good:

Within the annual affirmative action plan, the laboratory will develop a strategic plan in concurrence with DOE/OAK. The laboratory will provide evidence of its commitment by providing a report on the results of an annual strategic plan including topics such as recruitment, selection, and retention efforts involving minorities and women. The report shall include workforce data a year apart depicting job group tables which list employment by ethnicity and gender and which will identify the level of utilization for minorities and women.

Marginal:

Fails to develop an acceptable Plan.

Performance Area: FINANCIAL MANAGEMENT

Cumulative Available Points 55

GOAL#1: Effective and efficient execution of financial stewardship responsibilities to help ensure optimum use of taxpayers' dollars and protection of the Department's assets against waste, fraud and abuse.

SLAC's financial management practices provide for financial stewardship, including compliance and data integrity.

Performance Objective #1. Financial Stewardship

Effective and Efficient Cash Management

Performance Criterion: 1.1

Accounts receivable delinquencies are minimized.

Performance Measure: 1.1.a

Available Points: 2.0

Reduce the amount of delinquent accounts receivable 90, 91-180, and over 180 days old.

Performance Assumptions:

Accounts receivable percentages will be measured at the end of each fiscal year based on the delinquent accounts receivable balances 90, 91-180, and over 180 days old. The percentages will also be compared to the previous year's results. Eligible delinquent receivables greater than 180 days old must be transferred to OAK for referral to U.S. Treasury. Narrative explanation of special circumstances relating to outstanding accounts receivable balances may be considered for adjustment to the rating.

Performance Gradient:

Outstanding:

No receivables are delinquent more than 180 days, the value of receivables more than 90 days old is less than 1% of the value of total receivables, and all eligible non-Federal receivables more than 180 days old have been referred to Treasury. Alternatively, the number of receivables delinquent more than 90 days declines by 20% from the previous year's number.

Excellent:

The value of receivables delinquent more than 90 days is less than 2% of the value of total receivables and all eligible non-Federal receivables more than 180 days old have been referred to Treasury. Alternatively, the number of receivables delinquent more than 90 days declines by 10% from the previous year's number.

Good:

The value of receivables delinquent more than 90 days is less than 3% of the value of total receivables and all eligible non-Federal receivables more than 180 days old have been referred to Treasury. Alternatively, the number of receivables delinquent more than 90 days declines 5% from the previous year's number.

Marginal:

The value of receivables delinquent more than 90 days is less than 4% of the value of total receivables.

Unsatisfactory:

The value of receivables delinquent more than 90 days is greater than or equal to 4% of the value of total receivables.

Performance Criterion: 1.2

Revenues are properly recorded.

Performance Measure: 1.2.a

Available Points 2.0

Revenues/collections are promptly collected, recorded and properly classified (i.e., sent to Treasury or deposited into the Payments Cleared Financing Arrangement Account)

Performance Assumptions:

Contractor will track all revenues/collections received as required by DOE guidelines to ensure collections are promptly collected, recorded and classified (i.e. sent to treasury or deposited into the bank account)

Performance Gradient:

Outstanding:	100% of revenues/collections are properly recorded and classified.
Excellent:	98%-99% of revenues/collections are properly recorded and classified.
Good:	95%-97% of revenues/collections are properly recorded and classified.
Marginal:	90%-95% of revenues/collections are properly recorded and classified.
Unsatisfactory:	Less than 90% of revenues/collections are properly recorded and classified.

Performance Objective # 2. Financial Stewardship

Quality Budget Formulation & Effective Budget Execution.

Performance Criterion: 2.1

Budgets are timely submitted and adhere to DOE programmatic guidance.

Performance Measures: 2.1.a

Available Points 5.0

Supportable budgets submissions meet due dates, follow form, include all requested items, incorporate budget validation, and follow DOE guidance

Performance Assumption:

The annual process will be measured for timeliness and form. A narrative will describe the internal process to prepare the budget including a discussion of the balance between the programmatic and indirect (overhead) budget requirements, documented validation of the estimates, and any improvements in the process.

Performance Gradient:

Outstanding:

This rating is achieved by meeting DOE due dates, following directions, considering uncosted balance in requesting new budget authority, documenting a validation of at least 20% of the budget submission, receiving favorable customer feedback, and reducing cycle time and/or cost of budget preparation.

Excellent:

This rating is achieved by meeting DOE due dates, following directions, considering uncosted balance in requesting new budget authority, and documenting a validation of at least 20% of the budget submission.

Good:

This rating is assigned by meeting DOE due dates and following the form.

Marginal:

This rating is assigned if the budget is late and no higher rating factors are demonstrated.

Unsatisfactory:

This rating is assigned if a budget is not submitted.

Performance Criterion: 2.2

Manage uncosted balances

Performance Measure: 2.2.a

Available Points 5.0

Reduce or maintain uncosted balances within the criteria established by the DOE

Performance Assumptions:

SLAC will provide a narrative including charts where appropriate.

Performance Gradient:

Outstanding:

This rating is achieved by meeting the DOE established dollar threshold for operating and plant excluding line item construction, costs of work for others and reimbursables.

Excellent:

This rating is achieved by having less than 15% of the total uncoded balances exceeding the DOE established dollar threshold for operating and plant excluding line item construction, costs of work for others and reimbursables.

Good:

This rating is assigned by having less than 20% of the total uncoded balances exceed the DOE established dollar threshold for operating and plant excluding line item construction, costs of work for others and reimbursables.

Marginal:

This rating is assigned if more than 21% of the total uncoded balances exceeds the DOE established dollar threshold for operating and plant excluding line item construction, costs of work for others and reimbursables.

Unsatisfactory:

This rating is assigned if more than 30% of the total uncoded balances exceeds the DOE established dollar threshold for operating and plant excluding line item construction, costs of work for others and reimbursables.

Performance Criterion: 2.3

Costs and commitments of all programs including costs of work for others and reimbursables are managed properly.

Performance Measure: 2.3.aAvailable Points 8.0

Ensure costs and commitments are properly reported and within DOE-authorized funding levels.

Performance Assumptions:

SLAC will describe the system used to control costs and commitments, identify the number of DOE authorized funding levels measured, the number of times the DOE authorized funding levels were exceeded, the number of times there were costs in excess of the estimated cost and obligation report (ECOR).

Definitions:

“Properly reported” means that accounting records show costs and commitments in the appropriate accounts.

“Within funding levels” means within identified funding in the contract modifications.

“Commitments” are defined as uncoded balances under contracts awarded by the Laboratory that are set aside or encumbered, including purchase orders issued; contracts

and subcontracts awarded, including the full liability under lease purchases and capital leases; termination cost for incrementally funded firm fixed price contracts, operating lease agreements, and multi-year service contracts that contain termination clauses; and other agreements for the acquisition of goods and services not yet received uncosted balances related to other integrated M&O contractor liabilities.

Performance Gradient:**Outstanding:**

This rating is achieved by controlling costs within the funding levels identified in the contract modification for each accounting period, demonstrated internal process that ensures controlling costs and commitments at appropriate DOE-authorized funding levels, training and development on laboratory financial processes and assuring that funding changes are handled within normal funding cycles.

Excellent:

This rating is achieved by controlling costs within the funding levels identified in the contract modification for each accounting period, a demonstrated internal process that ensures controlling costs and commitments at appropriate DOE-authorized funding levels assuring that funding changes are handled within normal funding cycles.

Good:

This rating is achieved by controlling costs within the funding levels identified in the contract modification for 10 of the 12 accounting periods, a demonstrated internal process that ensures controlling costs and commitments at the ECOR, and that funding changes are handled within normal funding cycles 80% of the time.

Marginal:

This rating is assigned by staying within appropriate DOE-authorized ECOR levels each accounting period, controlling costs and commitments, and assuring that funding changes are handled 80% of the time within normal funding cycles.

Unsatisfactory:

This rating is assigned by exceeding an ECOR in any accounting period.

Performance Objective # 3. Financial Stewardship**Effective Internal Controls and Audit Findings Follow-up.****Performance Criterion: 3.1**

Provide for effective internal controls and ensure timely and effective resolution of effective and/or follow-up on external and internal review group findings of a financial nature.

Performance Measure: 3.1.a

Available Points 2.0

Financial findings are prioritized to achieve timely resolution within the metric guidelines.

Performance Assumptions:

SLAC will partner with OAK in prioritizing finding to achieve maximum resolution response by SLAC. SLAC will produce reports showing the delta between labs scheduled resolution dates and the actual resolution dates.

Performance Gradient:

Outstanding:

96-100% of all events are resolved on schedule.

Excellent:

86-95% of all events are resolved on schedule.

Good:

75%-85% of all events are resolved on schedule.

Marginal:

50%-74% of all events are resolved on schedule.

Unsatisfactory:

Less than 50% of all events are resolved on schedule.

Factors that will be considered for a higher rating include:

- audits or reviews that do not contain material findings
- proactive leadership in addressing and correcting internal and external audit findings
- aggressiveness of corrective actions schedules

Performance Measure: **3.1.b**

Available Points 2.0

Adequate internal controls are in place to ensure that travel costs reported are accurate, complete, and have supporting documentation.

Performance Assumptions:

SLAC will partner with OAK in addressing issues related to travel costs to meet DOE requirements. When requested by OAK, SLAC will provide documentation showing total travel costs of SLAC employees. Travel costs exclude travel performed under work-for-other agreements, travel of subcontractors, travel of users to participate in experiments at DOE user facilities, relocation costs or costs of travel management centers.

Performance Gradient:

Outstanding:

Travel costs reported by SLAC are accurate and satisfy DOE requirements. There is adequate documentation to support the costs. No revisions are made and validations conducted by OAK show no negative findings.

Excellent:

Minor changes are made on the travel costs after validations conducted by OAK. Overall, the travel costs meet DOE requirements. SLAC has sufficient documentation to support reported travel costs.

Good:

Documentation is inadequate to support minor travel costs. After validations by OAK, minor revisions have to be done to conform to DOE requirements.

Marginal:

There is inadequate documentation to support major costs. Major changes have to be done to satisfy DOE requirements.

Unsatisfactory:

SLAC does not report its travel costs or there is no documentation to support the costs.

Factors that will be considered for a higher rating include:

- OAK validations that have positive findings
- proactive interaction with OAK in addressing and correcting travel costs issues
- timeliness of submission of travel costs

GOAL#2: Effectiveness and Efficiency: Achieve cost effective and efficient Financial Management operations by applying available resources to continuous improvement efforts.

Performance Objective: #1

Ensure accounting data is recorded accurately and timely in accordance with prescribed standards.

Performance Criterion: 1.1

Financial data is recorded and reported consistently, accurately, and timely.

Performance Measures: 1.1.a

Available Points 5.0

DOE required accounting reports are provided by the due date and meet content requirements.

Performance Assumption:

Annual self-assessment will address date and time of report submittals, error rates, and resubmittals required. Describe significant adverse events and steps taken to resolve or prevent recurrence. Reports listed in the table, below, are addressed by this performance measure.

Performance Gradient:

Outstanding:

In addition to meeting the requirements for Excellent, SLAC's submittals consistently exhibit an innovative/improved approach to the content or reflect more efficient and effective work processes in the functions addressed by the submittals.

Excellent:

Despite the occurrence of significant adverse events, reports are submitted timely, address the content requirements, and are free of significant errors. No resubmittals or extensions of time are required or SLAC is able to overcome the adverse events and submit according to the original deadline rather than the extended due date granted by DOE.

Good:

Except for the occurrence of significant adverse events, reports are submitted on time, address the content requirements, and are free of significant errors. No resubmittals are required. SLAC notifies DOE of adverse events in time for DOE to grant an extension of time in which to make submittals.

Marginal:

One or two reports are submitted late or contain significant errors in content requiring resubmittal. There are no significant adverse events or SLAC fails to notify DOE in time for an extended deadline to be granted.

Unsatisfactory:

More than two reports are submitted late or contain significant errors in content requiring resubmittal. There are no significant adverse events or SLAC fails to notify DOE in time for an extended deadline to be granted.

DESCRIPTION	DUE DATE
MARS	4 th Workday, 10:00 a.m.
Reimbursable Work Overrun Reports	Monthly – 10 th day
Report on International Transactions	Quarterly
Schedule 220.9 – Receivables Due from the Public – Accounts and Loans	Quarterly
Summary of Individual Contractor Personal Property Sales	Quarterly
Financial Statement Analysis	Annual
Managerial Cost Allocations	Annual
Management Representation Letter	Annual
Current Status of Accounts Receivable from Foreign	

Obligors	Annual
Annual Disclosure Under FASB 106 – Post Retirement Benefits	Annual
DOE 3230.2 – Report of Contractor Expenditures for Employees’ Supplementary Compensation	Annual
Annual Disclosure Under FASB 87 – Pensions	Annual
Statement of Costs Incurred and Claimed	Annual (November 15)
Estimated Quantity and Usage – Stores	Annual

Performance Criterion: 1.2

FY 1999 Financial Statements hold up under audit by DOE/OIG or Stanford Internal Audit.

Performance Measures: 1.2.a

Available Points 6.0

FY 2000 audited financial statements are prepared in accordance with DOE requirements.

Performance Assumption:

The extent of improvement in FY2001 over FY 2000 will be measured.

Performance Gradient:

Outstanding:

In addition to meeting the Excellent gradient, SLAC compares its financial statement analysis against other integrated contractors’ processes and results as a step toward benchmarking.

Excellent:

Financial statements are complete and accurate and supported by documentation. The financial statement preparation and analysis process is identified and evaluated.

Good:

Financial statements are complete and accurate and supported by documentation. A list of analyses to be performed is prepared and analyses are completed. Information provided to auditors is timely and responsive.

Marginal:

Financial statements are incomplete or inaccurate. There is inadequate response to auditors’ requests for information.

Unsatisfactory:

Financial statements are incomplete or inaccurate. There is inadequate response to requests by auditors for information. Auditors are unable to certify OAK financial statements due to SLAC’s inadequate financial statement preparation.

Performance Objective #2**Construction projects are closed and capitalized.****Performance Criterion 2.1**

Construction projects are closed and capitalized

Performance Measures 2.1.aAvailable Points: 4.0

Construction projects are closed upon beneficial occupancy and capitalized in accordance with DOE requirements.

Performance Assumption:

Construction projects are tracked and processes are established to ensure that projects are closed upon beneficial occupancy and capitalized in accordance with DOE requirements.

Performance Gradient:

Outstanding:

In addition to meeting the requirements for the Excellent rating, SLAC implements improvements to the closing process and streamlines it and/or shortens the schedule.

Excellent:

In addition to meeting the requirements for the Good rating, SLAC reviews the closing process and identifies ways to improve it and streamline it and/or shorten the schedule.

Good:

A plan is developed for projects to be closed and capitalized by DOE's year-end established deadlines and all key milestones are met by the due date.

Marginal:

A plan is developed for projects to be closed and capitalized by DOE's year-end established deadlines but more than 10% of key milestones are missed.

Unsatisfactory:

SLAC fails to develop an adequate plan for projects to be closed and capitalized by DOE's year-end established deadlines or more than 20% of key milestones are missed.

Performance Objective #3.0**Effective and efficient indirect cost management****Performance Criterion: 3.1**

SLAC manages its indirect rates

Performance Measure: 3.1.a

Available Points 2.0

Using 1997 as a baseline, track and trend FY 1998 through FY 2001 indirect costs. Demonstrate that the costs are efficiently managed.

Performance Assumption:

SLAC will provide reports to DOE indicating the trend of indirect costs and an analysis of trend results.

Performance Gradient:

Track and Trend

Performance Measure: 3.1.b

Available Points 7.0

Policies, data, and reports consistent with Cost Accounting Standards (CAS) compliance and DOE requirements; financial practices are consistent with approved CAS Disclosure Statement.

Performance Assumption:

SLAC will provide a narrative description of its CAS financial management practices and processes to support this criterion. DOE will partner with SLAC to determine compliance.

Performance Gradient:

Outstanding:

SLAC's financial management practices and processes are fully compliant with CAS and DOE requirements. SLAC demonstrates an excellent, reliable, and systematic method of analyzing and assimilating financial data consistent with the approved Disclosure Statement.

Excellent:

There are very minor differences between SLAC's CAS financial practices and the approved Disclosure Statement or with DOE and CAS requirements. SLAC demonstrates the initiative to improve its CAS financial management practices and processes.

Good:

SLAC's CAS policies and processes need some necessary corrections to be consistent with the approved Disclosure Statement or SLAC may also need to

make some necessary revisions to its CAS policies to meet DOE and CAS requirements.

Marginal:

Major changes are necessary to bring SLAC's policies and processes in compliance with CAS and DOE requirements or consistent with the approved Disclosure Statement.

Unsatisfactory:

SLAC's CAS financial management policies and processes do not fully comply with CAS and DOE requirements or are not fully consistent with the approved Disclosure Statement.

Factors that will be considered for a higher rating include:

- agreed audit report findings
- proactive interaction with DOE
- training and development of staff and relevant program personnel

Performance Measure: 3.1.cAvailable Points 5.0

SLAC prepares and submits the Functional Support Cost Report (FSC) in accordance with DOE requirements.

Performance Assumption:

SLAC will prepare the FSC submission timely and in accordance with applicable guidelines. SLAC will also ensure accuracy of reported data and maintain auditable paper trail of methodology and assumptions used for allocations. SLAC will partner with OAK especially for input on any controversial items which may impact timeliness or accuracy of submission.

Performance Gradient:**Outstanding:**

The FSC is submitted on time and in accordance with DOE guidelines. It is accurate, complete, and has adequate supporting documentation. In addition, SLAC demonstrates a proactive interaction with OAK to resolve any FSC issues.

Excellent:

The FSC is submitted on time and SLAC demonstrates the initiative to improve its functional costs collection, analysis, and reporting in order to submit a well-prepared FSC.

Good:

The FSC is submitted on time with some necessary or minor corrections.

Marginal:

The FSC is not submitted timely or is submitted on time but needs major revisions.

Unsatisfactory:

SLAC does not submit the FSC.

Performance Area: INFORMATION MANAGEMENT PROGRAM**Cumulative available points: 30****Performance Assumptions for Information Management**

For purposes of this performance objective, the "information management" elements include Computing (Software and Hardware Management), Records Management, Telecommunications (Voice, Data, Video, Networking, Radio Frequency Management), and Printing and Reproduction.

Under each Measure, quantifiable metrics will be jointly developed by SLAC and OAK Information Management Division annually. The metrics will include performance gradients (i.e. meets, exceeds, far exceeds). The score for each Performance Measure will be a composite of the metrics for the various Information Management functional areas.

Performance Objective # 1 Information Management Program

The Laboratory manages information as a corporate resource to improve the quality of its products, to add value to scientific programs and customer services, and as a tool to improve its work processes. Information will be made available rapidly and cost effectively and will be distributed to the public, industrial partners and stakeholders, as appropriate.

Performance Criteria 1.1

IM Systems and Programs Operations

Information Management systems and programs provide cost-effective quality products and services that meet customer requirements.

Performance Measure 1.1aAvailable Points 15.0

The Operational Effectiveness of Information Management Systems and Programs, including measurable productivity improvements.

Performance Gradient:

Composite score of quantifiable metrics jointly developed by SLAC and OAK Information Management Division annually.

Outstanding: Average of 90 or better

Excellent: Average of 80 or better

Good: Average of 70 or better

Marginal:

Results fall short of the expectations for the good gradient, however some effort has been made to establish effective processes.

Unsatisfactory:

No results are demonstrated and little or no effort has been expended in establishing effective processes towards achievement of the performance measure.

Performance Measure 1.1b

Available Points 15.0

The effectiveness of Information Management Systems and Programs in meeting customer requirements.

Performance Gradient:

Composite score of quantifiable metrics jointly developed by SLAC and OAK Information Management Division annually .

Outstanding: Average of 90 or better

Excellent: Average of 80 or better

Good: Average of 70 or better

Marginal:

Results fall short of the expectations for the good gradient, however some effort has been made to establish effective processes.

Unsatisfactory:

No results are demonstrated and little or no effort has been expended in establishing effective processes towards achievement of the performance measure.

**Performance Area: Communication and Public Affairs Cumulative Available
Points 10**

Performance Objective # 1

In keeping with the expectations of the Office of Science initiatives to improve the management of its laboratories and programs, SLAC will maintain the Lab's position as being open to the community and as being constructive participants with stakeholders and neighbors in the community.

Performance Criteria 1.1

SLAC Communications and Public Affairs provide access to the lab through information sharing; publicizing lab activities; hosting public events and leading tours; and participating in public and community activities as appropriate. Activities are conducted with minimum impact on lab operations.

Performance Measure 1.1.a

Available Points 10

Various customer feedback methods.

Performance Assumptions:

Ongoing customer, stakeholder, and community participation and feedback indicates satisfaction or demonstrated effort to continuously improve communication, and overall availability and dissemination of information.

SLAC Communications and Public Affairs will measure the access of the public to the lab quantitatively by the number of people who participate in tours and attend public functions each fiscal year, and by the number of hits on SLAC's Virtual Visitor center web pages; and; qualitatively by the feedback given on SLAC's tours, Virtual Visitor Center web pages and/or on other public functions SLAC Community and Public Affairs coordinates throughout the year.

Performance Gradient:

Track and trend.

Track and trend is a term used by DOE which means that we (SLAC and DOE/OAK) will monitor (track) data and look for areas which show consistent activities (trends). Tracking will take place during FY2000 and FY 2001. The data collected will then form a baseline for determining performance ratings.

The rating category will be subjectively determined by DOE/Oakland in agreement with SLAC.

Performance Area: PERSONAL PROPERTY**Cumulative Available Points 30****Performance Objective #1 Accountability of Personal Property**

SLAC will achieve cost effective accountability for government personal property.

Performance Criteria 1.1

Equipment Inventory. The Laboratory shall conduct successful equipment inventories as established in its inventory plan. Property accountability records shall be reconciled within 90 days after conclusion of the inventory.

Performance Measure 1.1.a Available Points: 6.0

Equipment Inventory Results. Percentage of equipment accounted for, by acquisition value, in the most recent equipment inventory conducted will be measured.

Performance Gradients:

Percentage of property, by acquisition value, accounted for:

Outstanding:	99.5% & Up
Excellent:	99.2% to 99.4%
Good:	98.7% to 99.1%
Marginal:	98.0% to 98.6%
Unsatisfactory:	<98.0%

Performance Objective #1 Accountability of Personal Property

SLAC will achieve cost effective accountability for government personal property.

Performance Criteria 1.2

Sensitive Property Inventory. The Laboratory shall conduct successful sensitive property inventories as established in its inventory plan. Property accountability records shall be reconciled within 90 days after conclusion of the inventory.

Performance Measure 1.2a Available Points: 6.0

Sensitive Inventory Results. Percentage of sensitive property accounted for, by acquisition value, in the most recent sensitive property inventory conducted will be measured.

Performance Gradients:

Percentage of property, by acquisition value, accounted for:

Outstanding:	99.5% and Up
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Excellent:	99.2% to 99.4%
Good:	98.7% to 99.1%
Marginal:	98.0% to 98.6%
Unsatisfactory:	<98.0%

Performance Objective #2 Organizational Stewardship and Individual Custodianship

SLAC will ensure that both stewardship and custodianship for personal property is maintained.

Performance Criteria 2.1

Organizational Stewardship and Individual Custodianship. The Laboratory will ensure organizational and individual accountability (stewardship and custodianship, respectively) for property.

Performance Measure 2.1a Available Points: 3.0 *

Timeliness of Assignment. The accountable individual is identified for equipment and sensitive property, and the timeliness of such identification is measured.

Performance Assumptions:

- -% of accurate custodian assignments for sensitive property (Weight = %)
- -% of accurate custodian assignments for equipment (Weight = %)
- -% of initial custodians assigned within 60 days (Weight = %)

* Points are evenly distributed among the three sub-measures above.

Performance Gradients:

Outstanding:	98.0% & Up
Excellent:	95.5% to 97.9%
Good:	90.0% to 95.4%
Marginal:	85.0% to 89.9%
Unsatisfactory:	<85.0%

Performance Objective #3 Utilization of Property

SLAC will ensure proper utilization of government property.

Performance Criteria 3.1

Vehicle Utilization Program. The Laboratory will ensure proper utilization of government motor vehicles.

Performance Measure 3.1a Available Points: 3.0

Measure Vehicle Utilization. Percentage of total eligible motor vehicles meeting local utilization criteria will be measured using the average utilization percentage for each class of vehicles. Reviews will be completed for each class of motor vehicles with established utilization criteria.

Performance Assumptions:

The average utilization percentage will be calculated for each class of vehicles by dividing the overall utilization measured into the overall utilization standard. As an example, 10 vehicles with a utilization standard of 1,000 miles per year would equate to an overall utilization standard of 10,000 miles per year. If the overall utilization measured 9,500 miles, then the average utilization percentage would be 9,500/10,000 or 95%.

Performance Gradients:

The average utilization percentage for motor vehicles will be measured:

Outstanding:	98% & Up
Excellent:	95% to 97.9%
Good:	90% to 94.9%
Marginal:	85% to 89.9%
Unsatisfactory:	<85%

Performance Objective #4 Customer Satisfaction

SLAC will strive to improve customer satisfaction.

Performance Criteria 4.1

The Laboratory listens and responds to its internal and external customers and stakeholders in a fair and open process that encourages dialogue and participation.

Performance Measure 4.1a Available Points: 3.0

The Laboratory shall select areas in which to determine the needs of its customers relative to its property management systems and methods. Measurement of improved customer satisfaction will be from an established baseline. The Laboratory will submit its selection by December 1, 2000 and its plan of action by April 1, 2001.

Performance Gradients:**Outstanding:**

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented and milestones exceeded. Documentation of results versus the baseline demonstrates significant improvements in customer satisfaction relative to product improvement (ease of use and timeliness).

Excellent:

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented and milestones met. Documentation of results versus the baseline demonstrates improvements in customer satisfaction relative to product improvement (ease of use and timeliness).

Good:

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented and plan is initiated.

Marginal:

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented but not initiated.

Unsatisfactory:

An implementation plan is not submitted and/or milestones are not met.

Performance Objective #5 Information to Improve/Maintain Process

SLAC ensures that Property Management programs are consistent with policies and procedures approved by DOE.

Performance Criteria 5.1

Self-Assessment of Policies and Procedures. The Laboratory shall plan, conduct, document and report annually, the results of a successful property management system evaluation.

Performance Measure 5.1a**Available Points: 5.0**

Assessing Support Processes. The property processes shall be measured against identified system evaluation criteria established in the plan.

Basis for Rating:

SLAC's self-assessment worksheet provides the activities to be measured, point value for each activity and performance gradients.

Performance Objective #6 Cost Efficiency

SLAC ensures that property is managed appropriately to balance performance and cost.

Performance Criteria 6.1

Performance/Cost Efficiency. The Laboratory shall ensure that property processes/products are provided in the most cost efficient manner while maintaining desired levels of performance.

Performance Measure 6.1a**Available Points: 2.0**

Measuring Cost Efficiency/Effectiveness. The Laboratory shall measure its ability to effectively balance property management costs and performance.

Performance Gradients:

Cost Vs Baseline Plan Developed Each Year	Performance Level			
	Higher Gradient or Outstanding	Same Gradient	Lower Performance and Not Less Than Good	Lower Performance and/or Less Than Good
Less Cost	Outstanding	Excellent	Good	Marginal
Same Cost	Excellent	Good	Marginal	Unsatisfactory
More Cost	Good	Marginal	Unsatisfactory	Unsatisfactory
More Cost More Requirements	Renegotiate Performance Gradients for Critical Activities			

Assumption:

The Laboratory will select an area for measuring cost efficiency/effectiveness. Where properly justified and approved by DOE, the Laboratory may elect to extend the performance period for this measure over two evaluation periods. The first year the Laboratory will submit a plan reflecting the area to be addressed, outlining the approach to be employed in establishing an appropriate baseline and developing the gradients for the following evaluation period. Calculations for cost savings may be based on reduced man-hours. Approach and implementation of the plan will be evaluated the first year. The final milestone of the plan will be to develop gradients for results desired by the end of the second year. These gradients will be the basis for evaluation in the second evaluation period.

Performance Objective #7 Learning and Growth

SLAC shall ensure that there is a program for achieving and maintaining learning and growth in the property management organization.

Performance Criteria 7.1.

Evaluation of Learning and Growth and Employee Alignment. The Laboratory will foster learning and growth and employee alignment in its property management organization.

Performance Measure 7.1a Available Points: 2.0

Measuring Learning and Growth and Employee Alignment. The Laboratory will have a process in place to measure learning and growth as well as to understand and address workforce expectations.

Basis for Rating:

An employee learning and growth plan shall be developed in partnership with DOE by November 30, 2000, providing the expected activities to be measured and milestones for completion of activities.

Performance Assumptions:

Learning and growth is the alignment of organizational performance goals and workforce skills (both current and future). Elements to be evaluated and rated will be submitted to and approved by DOE.

Performance Gradients:

Outstanding:	97% & Up of plan milestones met
Excellent:	95% to 96% of plan milestones met
Good:	80% to 94% of plan milestones met
Marginal:	75% to 79% of plan milestones met
Unsatisfactory:	<75%

Performance Area: HUMAN RESOURCE MANAGEMENTCumulative Available Points 35**Performance Objective # 1. Attraction/ Retention of Qualified People**

SLAC will attract and retain highly qualified people by having a cost effective total compensation program which is competitive with the relevant job market.

Performance Criteria: 1.1

Direct Compensation Program. Direct compensation (salary) programs will reflect the University's mid-market compensation philosophy.

Performance Measure: 1.1.a**Available Points: 10.0**

Average Salary

Average salary for benchmark positions, excluding bargaining unit positions, as measured by recognized salary surveys conducted annually will be within $\pm 5\%$ of the aggregate average for jobs at the time of program implementation. No more than 20% of benchmark positions should exceed $\pm 10\%$ of their individual survey comparators.

Performance Assumption:

Rating category will be subjectively determined by DOE in agreement with SLAC.

Performance Gradient:

Track and trend

Performance Criteria: 1.2

Indirect Compensation. Indirect compensation (benefit) programs will be consistent with local market practices and provide for the well-being of SLAC employees.

Performance Measure: 1.2.a**Available Points: 5.0****Benefit Program**

The benefit program (to include programs such as: retirement, medical and dental, vacation, sick and other paid leave, life insurance, accidental death and dismemberment, worker's compensation, social security, unemployment, short and long term disability, holidays, and tuition grant) as measured by agreed to survey will be within $\pm 7.5\%$ of the local average when the above benefits are expressed as percent of salary.

Performance Assumptions:

Rating category will be subjectively determined by DOE in agreement with SLAC.

Performance Gradient:

Track and trend

Performance Area: PROCUREMENT**Performance Objective No. 1 Customer Satisfaction**

SLAC shall periodically assess the degree of satisfaction with Purchasing's ability to meet customer needs in terms of timeliness, quality, and communications. **(Weight =20%)**

Criterion: Customer Feedback

As a continuous indicator of overall customer satisfaction, Purchasing shall survey the needs and satisfaction of its Laboratory customers relative to its purchasing systems and methods.

Performance Measure: 1.1a Customer Satisfaction Rating

A customer satisfaction rating for the Purchasing function shall be created from the results of transactional surveys. The satisfaction rating is to be tracked and trended. The Parties will coordinate on the acceptability of the surveying process and contents.

Assumptions: Included in the evaluation will be a summary describing the activities that support the score achieved. Consideration will be given to activities/efforts taken to improve customer satisfaction.

The following formula shall be applied to measure customer satisfaction using transactional surveys:

$$\text{Customer Satisfaction Rating} = \frac{\text{Number of Satisfied Customers}}{\text{Total Number of Customers Surveyed}}$$

Gradients:

Outstanding	≥ 95% of customers responding to survey are satisfied.
Excellent	90 - 94.9% of customers responding to survey are satisfied.
Good	80 - 89.9% of customers responding to survey are satisfied.
Marginal	70 - 79.9% of customers responding to survey are satisfied.
Unsatisfactory	60 - 69.9% of customers responding to survey are satisfied.

Performance Objective No. 2 Management of Internal Business Processes

SLAC shall have systems in place to ensure Purchasing Department programs operate in accordance with policies and procedures approved by DOE and which ensure that business operations are conducted at an optimum operational effectiveness level. **(Total Weight = 50%)**

Criterion: 2.1 System Evaluation

SLAC conducts, documents, and reports annually the results of a successful assessment of its purchasing system against established evaluation criteria. **(Weight = 15%)**

Performance Measure: 2.1a Assessing System Operations

The SLAC purchasing system shall be assessed against system evaluation criteria as identified in its annual Balanced ScoreCard Self-Assessment Plan. This internal controls assessment shall measure the percentage of systems in full compliance with applicable laws, regulations, prime contract terms and conditions, and SLAC policies and procedures.

<i>Gradients:</i>	Outstanding	≥ 90% of systems in full compliance.
	Excellent	85 - 89.9% of systems in full compliance.
	Good	80 - 84.9% of systems in full compliance.
	Marginal	75 - 79.9% of systems in full compliance.
	Unsatisfactory	<75% of systems in full compliance.

Criterion: Supplier Performance

SLAC shall manage its suppliers in such a manner as to ensure that the goods and services provided meet the Laboratory's requirements. **(Weight = 5%)**

Performance Measure: 2.2a Measuring Supplier Performance

SLAC shall measure the performance of its suppliers by dividing the number of line items delivered on time by the total line items due (or total line items received).

Assumptions: SLAC has designed a PeopleSoft query to capture vendor performance by line item deliveries. SLAC has elected to use a definition of on time delivery of up to 2 days after the purchase order due date allowing for internal processing of the delivered items.

The following formula shall be applied to measure supplier performance:

$$\text{Supplier Performance} = \frac{\text{Number of line items delivered on time}}{\text{Total line items due/received}}$$

<i>Gradients:</i>	Outstanding	≥85% of items delivered on time.
	Excellent	75 – 84.9% of items delivered on time.
	Good	65 – 74.9% of items delivered on time.
	Marginal	55 – 64.9% of items delivered on time.
	Unsatisfactory	<55% of items delivered on time.

Criterion: Effective Utilization of Alternative Procurement Approaches

SLAC shall measure the transfer of traditional purchasing activities such as supplier selection, best value determination, ordering and receiving, from the purchasing organization directly to the user organization. **(Weight = 5%)**

Performance Measure: 2.3a Traditional purchasing activities transferred.

Optimum percentage of transactions placed by users (JIT, Purchase Card, Blanket Order Releases).

The following formula shall be applied to measure the effective use of alternate procurement methods:

Percentage of transactions placed by users =
$$\frac{\text{Total number of alternate transactions}}{\text{Total number of transactions}}$$

Assumptions: The CAPS target is set at 72.5%

<i>Gradients:</i>	Outstanding	>75% of transactions placed by users.
	Excellent	>70% of transactions placed by users.
	Good	>65% of transactions placed by users.
	Marginal	>60% of transactions placed by users.
	Unsatisfactory	<55% of transactions placed by users.

Criterion: Streamlined Processes

SLAC shall achieve improvements to its acquisition processes which serve to enhance procurement efficiency, reduce cycle time, reduce operating cost and increase overall customer satisfaction.
(Weight = 10%)

Performance Measure: 2.4a Improvements to the acquisition processes.

SLAC will obtain this measurement by totaling the number of critical processes re-engineered, re-designed, or re-validated.

Assumptions: The DOE National Target is two processes annually improved.

<i>Gradients:</i>	Outstanding	4 processes improved
	Excellent	3 processes improved
	Good	2 processes improved
	Marginal	1 process improved
	Unsatisfactory	0 processes improved

Criterion: Acquisition Process

SLAC shall measure the efficiency of the acquisition process by measuring the time between receipt of an approved purchase requisition and award of the purchase order.
(Weight = 15%)

Performance Measure: 2.5a Average Cycle Time

SLAC shall measure the efficiency of the acquisition process by measuring the time between receipt of an approved purchase requisition and award of the purchase order. Measurements will be calculated for all actions for comparison purposes to previous years data.

The following formula shall be applied to measure average cycle time(excluding Purchasing Authorization Card):

$$\text{Average Cycle Time} = \frac{\text{Total of Time Between Receipt of Requisitions and Award}}{\text{Total Number of Awards}}$$

Assumptions: The DOE target for FY 2001 is 20 days average cycle time (CAPS).

<i>Gradients:</i>	Outstanding	≤ 20 days
	Excellent	≤ 25 days
	Good	≤ 30 days
	Marginal	≤ 35 days
	Unsatisfactory	≤ 40 days

Criterion: Socio-economic Subcontracting

SLAC shall support and promote socio-economic subcontracting programs.

Performance measure: 2.6a Meeting Socio-Economic Commitments

This performance measure shall not be weighted nor measured. The SLAC Purchasing Department will provide in its annual Balanced ScoreCard Self- Assessment Report, **for information purposes only**, the percentage of subcontract (includes purchase orders) dollars awarded in the following four categories:

- (a) Small Business
- (b) Small Disadvantaged Business
- (c) Small Women-Owned Small Business
- (d) 8 (a) Pilot Program Awards

The Balanced ScoreCard Self- Assessment Report will describe annual activities in support of the socio-economic program. Subcontracts qualifying in more than one category may be counted in more than one category e.g., Small Business and Small

Disadvantage Business. Lower tier subcontracts cannot be counted toward the primary goal, but may be goal and reported separately.

The purchasing base for purposes of this measure is all subcontracts awarded during the fiscal year period, excluding (1) Subcontracts with foreign corporation which will be performed entirely outside of the United States; (2) Utilities (gas, sewer, water, steam, electricity and regulated telecommunications services; (3) Federal Supply Schedule Orders when all terms of the GSA contract apply; (4) GSA Orders when all terms of the GSA contract apply; (5) Agreements with DOE management and operating contractors and University campuses; (6) Federal government and DOE mandatory sources of supply; Federal prisons industries, Industries of blind and handicapped; and (7) Procurement card purchases.

Performance Objective No. 3 Managing Financial Aspects

SLAC shall ensure optimum cost efficiency of its purchasing operations. (**Weight = 10%**)

Criterion: Process Cost

SLAC shall compare its operating costs as a percentage of total procurement dollars obligated to benchmarking data and industry standards and establish goals and gradients accordingly.

Performance Measure: 3.1a Cost to Spend Ratio

Operating costs as a percentage of total procurement dollars obligated will be computed. SLAC's operating costs (labor plus overhead) shall be divided by purchasing obligations.

Assumptions: The following formula shall be applied to measure the cost to spend ratio:

$$\text{Cost to Spend Ratio} = \frac{\text{Purchasing Organization Cost}}{\text{Total Purchasing Obligations}}$$

<i>Gradients:</i>	Outstanding	< \$.025
	Excellent	\$.025 to \$.0279
	Good	\$.028 to \$.0309
	Marginal	\$.031 to \$.0339
	Unsatisfactory	> \$.034

Performance Objective No. 4 Learning and Growth

SLAC shall ensure that information and feedback mechanisms are available to purchasing employees to enhance continued successful purchasing operations. (**Total Weight = 20%**)

Criterion: Employee Feedback

SLAC shall foster improvement of processes and performance by assessing and pursuing improvements in employee satisfaction. **(Weight = 5%)**

Performance Measure: 4.1a Employee Satisfaction Rating

A Purchasing employee satisfaction rating shall be created from the results of an employee survey. The satisfaction rating is to be tracked and trended. The Parties will coordinate on the acceptability of the surveying process and contents.

Assumptions: Included in the evaluation will be a summary describing the activities that support the employee satisfaction rating achieved. Consideration will be given to activities/efforts taken to improve employee satisfaction.

The following formula shall be applied to measure employee satisfaction:

$$\text{Employee Satisfaction Rating} = \frac{\text{Number of Satisfied Employees}}{\text{Total Number of Employees Surveyed}}$$

Gradients:

Outstanding	≥ 80% of employees responding to survey are satisfied.
Excellent	70 - 79.9% of employees responding to survey are satisfied.
Good	60 - 69.9% of employees responding to survey are satisfied.
Marginal	50 - 59.9% of employees responding to survey are satisfied.
Unsatisfactory	<50% of employees responding to survey are satisfied.

Criterion: Employee Alignment

SLAC shall ensure individual goals are aligned with SLAC's organizational goals (Key Success Factors) **(Weight = 5%)**

Performance Measure: 4.2a Validate Alignment of Goals

A review of each buyer's (employee) 2000/2001 Performance Evaluation shall be conducted to ensure the alignment of individual goals is consistent with organizational goals.

The following formula shall be applied to measure employee alignment:

$$\% \text{ of Employees Aligned} = \frac{\text{Number of Aligned Employees}}{\text{Total Number of Employees With Buying Function}}$$

<i>Gradients:</i>	Outstanding	90 – 100% of employees aligned.
	Excellent	85 – 89.9% of employees aligned.

Good	80 – 84.9% of employees aligned.
Marginal	75 – 79.9% of employees aligned.
Unsatisfactory	70 – 74.9% of employees aligned.

Criterion: 4.3 Information Availability

SLAC shall make readily available to its employees current information important to the successful performance of their purchasing related functions. **(Weight = 10%)**

Performance Measure: 4.3a Measuring Availability of Information

SLAC will track and trend the level of information available to Purchasing employees.

Assumptions: Information is considered available if it is current or requires only minor revision and the information is in compliance with Prime Contract requirements.

The following formula shall be applied to measure the level of information availability:

$$\text{Level of Information Availability} = \frac{\text{Number of Information Items Available}}{\text{Number of Information Items Needed}}$$

<i>Gradients:</i>	Outstanding	90 - 100%
	Excellent	85 - 89.9%
	Good	80 - 84.9%
	Marginal	75 – 89.9%
	Unsatisfactory	70 – 74.9%

Performance Area: PROJECTS & FACILITIES MANAGEMENT**Performance Objective #1 Real Property Management****Performance Criteria: 1.1 Office Space Utilization**

The laboratory will optimize its utilization of office space in permanent buildings.

Performance Measure: 1.1.a Available Points 4.0

Calculate net square feet per person for permanent office space.

Performance Assumptions:

The intent is to efficiently utilize office space. GSA recognizes an average utilization of 125 square feet per person. Data gathered during the site building baseline exercise will be used to calculate the square feet per person in permanent office space.

Performance Gradient:

Outstanding:	10% under GSA Standard
Excellent:	5% under GSA Standard
Good:	Achieve GSA Standard
Marginal:	5% Over GSA Standard
Unsatisfactory:	10% of more above GSA Standard

Performance Criteria: 1.2 Substandard Building Space

The laboratory will reduce the square footage of substandard building space.

Performance Measure: 1.2.a Available Points 4.0

Actual Square feet of substandard building space eliminated/ Square feet of substandard space planned for removal or upgrade;

Performance Assumptions:

The amount of space to be improved or eliminated will be agreed upon after the budget is approved and GPP allocations have been decided.

Performance Gradients:

Outstanding:	1.00
Excellent:	greater than 0.95 and less than or equal to 0.99
Good:	greater than 0.90 and less than or equal to 0.94
Marginal:	greater than 0.85 and less than or equal to 0.89
Unsatisfactory:	less than 0.8.

Performance Criteria: 1.3 Real Property Management**Performance Measure: 1.3.a Program Implementation Available Points 2.0**

Real property is effectively managed consistent with mission requirements and DOE direction.

Performance Assumptions:

Intent is to measure the effectiveness, completeness, and timeliness of implementation of Real Property management actions. Milestones will be established in partnership with DOE and made a matter of record in the first month of the fiscal year. Milestones may be established for Facilities Information Management System (FIMS) completeness, office space utilization, substandard building space conversion, real property leases, etc.

Performance Gradient:

Outstanding:	.900 or greater
Excellent:	.800 to .899
Good:	.700 to .799
Marginal:	.600 to .699
Unsatisfactory:	less than .600

Performance Objective #2 Project Management**Performance Criteria: 2.1 Construction Project Performance**

Complete Line Item (LI) project Research Office Building and General Plant Projects (GPP), greater than or equal to \$500,000, within budget, schedule, and technical baseline.

Performance Measure: 2.1.a Available Points 5.0

Number of milestones completed on schedule and within budget.

Performance Assumptions:

The intent is to measure actual progress against that planned for the fiscal year and for the Laboratory to execute LI and GP projects within budget in a timely manner. A milestone list for the LI and all GP projects above the \$500K threshold will be negotiated with DOE at the time that each project is submitted to DOE. Only significant milestones will be listed, but each active project will have at least one milestone. Project completion is based upon beneficial occupancy or beneficial use. By mutual agreement between the Laboratory and DOE, milestones and project final

cost may be weighted for significance, for late/early completion, and/or for increased/diminished scope. OAK/SSO may approve changes to project milestones due to changes in Laboratory funding priorities, programmatic schedules, or delays due to uncontrollable forces, as it relates to this performance measure.

Performance Gradient:

Outstanding:	All milestones completed on schedule.
Excellent:	* One milestone not completed on schedule.
Good:	* Two to Three milestones not completed on schedule.
Marginal:	* Four milestones not completed on schedule.
Unsatisfactory:	* Five or more milestones not completed on schedule.

* If there are less than five milestones identified for the rating period, the final performance grade will be based on SLAC and OAK/SSO's evaluation of the processes and specific reasons contributing to the failure to meet milestones or budgets and the resulting impact to the program mission.

Performance Criteria: 2.2 Construction Project Cost

Line Item project Research Office Building meets cost baselines.

Performance Measure: 2.2.a - Total Estimated Cost Available Points 4.0

Actual funds committed during the fiscal year/planned funds committed during the fiscal year.

Performance Gradients:

Outstanding:	1.00
Excellent:	greater than 0.95 and less than or equal to 0.99
Good:	greater than 0.90 and less than or equal to 0.94
Marginal:	greater than 0.85 and less than or equal to 0.89
Unsatisfactory:	less than 0.84

Performance Assumptions:

The intent is to measure actual progress against planned progress for the fiscal year and for the project to commit funds in a timely manner. Milestone completion and cost profiles will be adjusted for uncontrolled forces, DOE approved changes, changes in programmatic schedules, funding profiles, etc. The costing profile for the project will be established during the first month of the fiscal year.

Performance Objective #3 Maintenance Management**Performance Criteria: 3.1 Non-programmatic Maintenance**

Evaluation of the site maintenance depends on determining the present site conditions and the amount of maintenance items deferred.

Performance Measure: 3.1.a Available Points 5.0

Inspect a portion of the site measured in square feet of real property in accordance with the SLAC facility inspection program. Report square feet inspected/square feet of real property

Performance Assumptions:

The SLAC inspection program is planned for completion on a three-year cycle. Inspections include six categories, exterior, interior, mechanical, electrical, roofing, and structural.

Performance Gradient:

Outstanding:	.330 or greater
Excellent:	.310 to .329
Good:	.290 to .309
Marginal:	.270 to .289
Unsatisfactory:	less than .270

Performance Measure: 3.2 Maintenance Index Available Points 19.0

Calculate quality performance index based on EFCOG maintenance performance indicators listed below.

3.2a Janitorial

Total janitorial costs/Total cleaned square feet

3.2b Utilities

Total non-programmatic utility costs/total non-programmatic square feet

3.2c Direct Facility maintenance

Total non-programmatic maintenance costs/ total non-programmatic square feet

3.2d Roads and Grounds

Total costs for roads and grounds/total acres of maintained roads and grounds

3.2e System Average Interruption Duration Index

Total outage time (minutes)/Average number of 5 Kva increments

3.2f System Average Interruption Frequency

Total number of Outages/Average number of 5 Kva increments

3.2g Utility Maintenance Costs

Total maintenance and operations cost/total delivered kilowatt-hours

Performance Assumptions:

The maintenance index is based on EFCOG data and we will be measured against the industry Average for each item as reported in the April 1998 indicator pilot project. Each item will be reported separately at years end.

Performance Gradient:

Outstanding:	7 of 7 items exceed industry average
Excellent:	6 of 7 items exceed industry average
Good:	5 of 7 items exceed industry average
Marginal:	4 of 7 items exceed industry average
Unsatisfactory:	3 or less items exceed industry average

Performance Objective #4 Energy Management

Performance Criteria: 4.1 Use Energy Efficiently

Performance Measure: 4.1.a Available Points 7.0

Current fiscal year energy goals accomplished/goals scheduled to be accomplished in accordance with the multi-year energy management plan.

Performance Assumptions:

The Laboratory will maintain a multi-year energy management plan, consistent with the thirteen statutory and Executive Order requirements in DOE 430.2. The plan will be negotiated and will be made a matter of record within three months of an approved budget for the FY01 fiscal year. Annual goals will include an update of the energy management plan, quarterly reporting of energy use, DOE directed initiatives, and an

annual report on in-house energy management. Goals may be revised during the year by mutual agreement between the laboratory and DOE/OAK.

Performance Gradient:

Outstanding:	.950 or greater
Excellent:	.850 to .949
Good:	.750 to .849
Marginal:	.600 to .749
Unsatisfactory:	less than .600

Performance Objective #5 Physical Assets planning**Performance Criteria: 5.1 Comprehensive Integrated Planning Process**

The Laboratory develops, documents and maintains a comprehensive, integrated planning process that is aligned with SLAC mission needs.

Performance Measure: 5.1.a Available Points 10.0

Assess how the planning process is implemented to achieve maximum effectiveness in anticipating and articulating DOE and Laboratory Needs. Integrate the space planning office into the process.

Performance Assumptions:

The planning process is executed to achieve maximum effectiveness in anticipating and articulating DOE and Laboratory needs. SLAC will document the major planning activities with associated milestones within the first month of the fiscal year.

Performance Gradient:

The adjectival rating will be determined by a combination of criteria: a) impact of process improvements throughout the year; b) successful development of a work plan; c) the successful execution of the work plan, and; d) other planning and land use activities throughout the fiscal year.

Outstanding:	.900 or greater
Excellent:	.800 to .899
Good:	.700 to .799
Marginal:	.600 to .699
Unsatisfactory:	less than .600

Performance Area: SAFEGUARDS & SECURITY**Cumulative Available Points 20****Performance Objective # 1**

Reduce security incidents, primarily losses and theft, to ensure the protection of the government and personal property and the safety of SLAC personnel and the general public.

Performance Criteria: 1.1

Through the cost-effective utilization of tools and procedures, SLAC will establish a safeguards and security program that minimizes incidents and loss amounts.

Performance Measure: 1.1.a**Available Points: 7.0**

Number of security incidents, loss amounts reported, and documented steps taken to reverse negative trends.

Performance Assumptions:

1. A site security plan, acceptable to OAK has been developed and is updated annually.
2. An event is a trackable and trendable item as defined in the SLAC Site Security Plan.
3. SLAC will identify adverse trends or potentially adverse trends and will redistribute/ reallocate safeguards and security resources to reverse negative trends.

Performance Gradient:

Track and trend.

Performance Objective # 2

To promote continuous improvement, SLAC will conduct safeguards and security program self-assessments and implement corrective actions for self-assessment findings, with the goal of timely correction.

Performance Criteria: 2.1

Through a documented deficiency management program, SLAC will ensure corrective actions for discovered deficiencies are developed and completed in a timely fashion.

Performance Measure: 2.1.a**Available Points: 6.0**

Percent of on-schedule corrective actions resulting from SLAC self-assessment findings/issues.

Performance Assumptions:

1. A site security plan, acceptable to OAK, has been developed and is updated annually.
2. The safeguards and security self-assessment program, as mutually agreed upon between SLAC and DOE, SSD, will annually address applicable topical and sub-topical areas as required by applicable DOE policies and directives.

OAK-SSD proposes the following item:

3. **The safeguards and security self-assessment will identify deficiencies and develop corrective action plans which identify root cause and the steps (milestones) necessary to resolve the deficiency. The milestones are to be completed in such a manner as to ensure timely completion of the corrective action plan by the date designated.**
4. A corrective action will be considered completed at the time that the action is documented and completed.
5. Findings that have corrective action plans with milestones that are not due within the assessment period will be assumed to be on schedule and full credit will be awarded for work in progress.

Performance Gradient:

Outstanding:	90%-100% timely completion of corrective actions
Excellent:	80%-89% timely completion of corrective actions
Good:	70%-79% timely completion of corrective actions
Marginal:	60%-69% timely completion of corrective actions
Unsatisfactory:	<60% timely completion of corrective actions

Performance Objective # 3

Information resources are provided protection commensurate with the risk and magnitude of harm that could result from the loss, misuse, or unauthorized access to or modification of such information resources.

Performance Criteria: 3.1

Through a documented unclassified computer security program, SLAC will ensure its information systems and applications operate effectively and provide appropriate confidentiality, integrity, and availability protection.

Performance Measure: 3.1.a**Available Points: 7.0**

The extent to which vulnerabilities are reduced.

Performance Assumptions:

1. A site Cyber Security Program Plan (CSPP) will be developed and approved by OAK.
2. Assessments and reviews of the SLAC CSPP will be completed as appropriate.

Performance Gradient:

Outstanding:	Narrative and numerical data show outstanding performance.
Excellent:	Narrative and numerical data show superior performance.
Good:	Narrative and numerical data show satisfactory performance.
Marginal:	Narrative and numerical data fall short of the expectations for the good gradient, however some effort has been identified.
Unsatisfactory:	Narrative and numerical data show no results and no effort has been expended towards achievement of the performance measure.

Performance Area: TECHNOLOGY AND INTELLECTUAL PROPERTY**Cumulative Available Points 10****Performance Objective #1**

The mission of the Technology and Intellectual Property Management program at SLAC is to manage the utilization, protection, and transfer of Laboratory technology and intellectual property to benefit DOE, SLAC, the scientific community, and private industry. This mission is accomplished by effective management processes for identifying, assessing, disclosing, and protecting technology as intellectual property; by transfer and licensing of innovative SLAC technology to the U.S. private sector; and by R&D collaborations with non-Federal partners for the development of innovative technology.

Performance Criteria: 1.1

Technology and Intellectual Property are effectively managed for the benefit of DOE, SLAC, the scientific community, and the private sector.

Performance Measure: 1.1.a**Available Points: 5.0**

Key technologies and inventions are identified, assessed, disclosed, and given intellectual property protection as necessary; technology that is transferred and intellectual property that is licensed provide value to DOE, SLAC, and the recipient.

Performance Assumptions:

1. SLAC has effective administrative systems for identifying and evaluating technologies, disclosing inventions, obtaining intellectual property protection as necessary, and licensing.
2. SLAC has effective inreach and outreach programs to generate and transfer technology.

Performance Gradient:

Outstanding:	narrative and numerical data show outstanding performance.
Excellent:	narrative and numerical data show superior performance.
Good:	narrative and numerical data indicate satisfactory performance.
Marginal:	narrative and numerical data indicate a need to improve performance.
Unsatisfactory:	narrative and numerical data indicate an unsatisfactory performance.

Performance Criteria 1.2

Collaborative R&D Projects

Performance Measure: 1.2.a**Available Points 5.0**

Collaborative R&D projects provide benefit to DOE, SLAC, the scientific community, and the private sector.

Performance Assumptions:

1. SLAC has effective administrative systems for identifying candidate technologies for collaborative R&D.
2. SLAC has an effective inreach and outreach program to match SLAC staff and potential collaborators.
3. SLAC has effective administrative systems (numerical and narrative) for tracking evidence of benefits.

Performance Gradient:

Outstanding:	narrative and numerical data show outstanding performance.
Excellent:	narrative and numerical data show superior performance.
Good:	narrative and numerical data indicate satisfactory performance.
Marginal:	narrative and numerical data indicate a need to improve performance.
Unsatisfactory:	narrative and numerical data indicate an unsatisfactory performance